

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB No 0930-0222

FFY 2011

State: North Carolina



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

Table of Contents

Introduction	i
FFY 2011: Funding Agreements/Certifications	1
Section I: FFY 2010 (Compliance Progress).....	2
Section II: FFY 2011 (Intended Use)	8
Appendix A: Forms 1–5	9
Appendixes B & C: Forms	16
Appendix B: Synar Survey Sampling Methodology	17
Appendix C: Synar Survey Inspection Protocol.....	20
Appendix D: List Sampling Frame Coverage Study	22

INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 05-31-2013.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2010 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2011 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and onsite technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze substate needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term “State” is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or email using the directory provided in the FY 2011 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2010. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2011 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1–5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4, and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

Each State SSA Director has been emailed a login ID and password to log onto the Synar section of the WebBGAS site.

Additionally, the State must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Ms. Barbara Orlando
Grants Management Officer
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

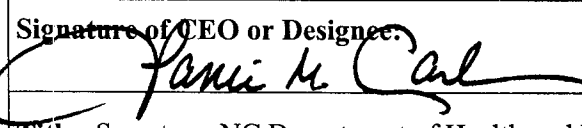
1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20850

FFY 2011: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT
42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.
SYNAR SURVEY SAMPLING METHODOLOGY
The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2011 is up-to-date and approved by the Center for Substance Abuse Prevention.
SYNAR SURVEY INSPECTION PROTOCOL
The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2011 is up-to-date and approved by the Center for Substance Abuse Prevention.
State: North Carolina
Name of Chief Executive Officer or Designee: Lanier Cansler
Signature of CEO or Designee: 
Title: Secretary, NC Department of Health and Human Services Date Signed: 12/8/10
If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2010 (Compliance Progress)**YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT**

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

- 1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the State law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the State law to WebBGAS. (see 42 U.S.C. 300x-26).**

- a. Has there been a change in the *minimum sale age* for tobacco products?**

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No**

If Yes, indicate change. (Check all that apply.)

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco
☐ Changed to require ID to purchase tobacco
☐ Other change(s) (Please describe.) _____

- c. Have there been any changes in the law concerning *vending machines*?**

☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

- ☐ Total ban enacted
☐ Banned from location(s) accessible to youth
☐ Locking device or supervision required
☐ Other change(s) (Please describe.) _____

- d. Have there been any changes in State law that impact the following?**

Licensing of tobacco vendors ☐ Yes ☒ No

Penalties for sales to minors ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply.)**

☐ Placed on file for public review

☒ Posted on a State agency Web site (Please provide exact Web address.)

www.ncdhhs.gov/mhddsas/statpublications/reports/index.htm#statisticalreports

- ☐ Notice published in a newspaper or newsletter
- ☐ Public hearing
- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other change(s) (Please describe.) _____

3. Identify the following agency or agencies (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

a. The State agency(ies) designated by the Governor for oversight of the Synar requirements:

NC Department of Health and Human Services, Division of Mental Health, Developmental Disabilities and Substance Abuse Services

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

b. The State agency(ies) responsible for conducting random, unannounced Synar inspections:

NC Department of Health and Human Services, Division of Mental Health, Developmental Disabilities and Substance Abuse Services

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

c. The State agency(ies) responsible for enforcing youth tobacco access law(s):

NC Department of Crime Control and Public Safety, Alcohol Law enforcement Division

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

4. Identify the State agency responsible for tobacco prevention activities (the agency that receives the Centers for Disease Control and Prevention's National Tobacco Control Program funding).

NC Department of Health and Human Services, Division of Public Health - Tobacco Prevention and Control Branch

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☒ Have an informal partnership
- ☒ Conduct joint planning activities

- ☐ Combine resources
- ☒ Have other collaborative arrangement(s) *(Please describe.) Collaborate on training and technical assistance activities, policy strategies and workgroups*

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2010 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

- a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)**
- ☐ Enforcement is conducted exclusively by local law enforcement agencies.
- ☐ Enforcement is conducted exclusively by State agency(ies).
- ☒ Enforcement is conducted by both local *and* State agencies.
- b. The following items concern penalties imposed for violations of youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES. Please fill in the number requested. If State law does not allow for an item, please mark "NA" (not applicable). If a response for an item is unknown, please mark "UNK." The chart must be filled in completely.**

PENALTY	OWNERS	CLERKS	TOTAL
Number of citations issued (charge total)	NA	929	929
Number of fines assessed	NA	UNK	UNK
Number of permits/licenses suspended	NA		
Number of permits/licenses revoked	NA		
Other (Please describe) conviction total	NA	393	393

- c. Which one of the following best describes the level of enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)**
- ☐ Enforcement is conducted only at those outlets randomly selected for the Synar survey.
- ☐ Enforcement is conducted only at a subset of outlets not randomly selected for the Synar survey.
- ☒ Enforcement is conducted at a combination of outlets randomly selected for the Synar survey and outlets not randomly selected for the Synar survey.
- d. Did every tobacco outlet in the State receive at least one enforcement compliance check in the last year?**
- ☐ Yes
- ☒ No
- e. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply.)**
- ☒ Merchant education and/or training

- ☐ Incentives for merchants who are in compliance (e.g., nonenforcement compliance checks in which compliant retailers are given positive reinforcement and noncompliant retailers are warned about youth access laws)
- ☒ Community education regarding youth access laws
- ☒ Media use to publicize compliance inspection results
- ☒ Community mobilization to increase support for retailer compliance with youth access laws
- ☐ Other activities (Please list.) _____

Briefly describe all checked activities:

All activities described were conducted during the period from July 1, 2009 – June 30, 2010 (state fiscal year)

1. Merchant Education – Alcohol Law Enforcement (ALE) agents conducted 324 Be a Responsible Seller/Server (BARS) programs to educate retailers and their employees on laws and penalties for selling tobacco and alcohol to minors.

2. Community Education – The SSA and ALE participated in two workshops to educate adult leaders on youth access issues, environmental approaches and the Red Flag Campaign.

3. Media – Generated 12 media stories on youth access compliance through ALE’s Public Information Office.

4. Community Mobilization – The SSA and ALE participated in eight local trainings to mobilize youth and their adult leaders to conduct Red Flag Merchant Education and Operation Storefront activities in their local communities.

Local Management Entities (LMEs) and their Provider Agencies also conduct youth access related activities in the areas listed above, especially in community and merchant education. The LMEs are required by the SSA (through their performance contract) to provide these services at a minimum of 48 hours per each six month reporting period. They often visit local retailers to assess their need for training for their employees, to provide educational materials on state law, penalties, Red Flag retailer campaign and other resources.

- f. **Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey?** ☐ Yes ☒ No

If “Yes” to 5f, please describe the State’s procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

g. Please describe the relationship between the State’s Synar program and the Food and Drug Administration-funded enforcement program:

NC currently does not receive funding from the FDA enforcement program. The SSA has worked collaboratively with the NC Alcohol Law Enforcement (ALE) to provide the FDA with a database of retail tobacco outlets and also provided information on channels for reaching tobacco retailers in our state. This information was requested by the FDA to assist them in reaching out to retailers across the country to provide information to about the new law and the new FDA merchant education materials. ALE did apply to the FDA for funding for the enforcement program, but was not successful with its application.

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2010 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year? ☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

7. Please answer the following questions regarding the State’s annual random, unannounced inspections of tobacco outlets (see 45 C.F.R. 96.130(d)(2)).

a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data? ☒ Yes ☐ No

If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1–5 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.

b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, the standard error, accuracy rate (number of eligible outlets divided by the total number of sampled outlets), and completion rate (number of eligible outlets inspected divided by the total number of eligible outlets).

Unweighted RVR _____

Weighted RVR _____

Standard error (s.e.) of the (weighted) RVR _____

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

_____ + (1.645 × _____) = _____
RVR Estimate plus (1.645 times Standard Error) equals Right Limit

Accuracy rate _____

Completion rate _____

c. Fill out Form 1 in Appendix A (Forms 1–5). *(Required regardless of the sample design.)*

d. How were the (weighted) RVR estimate and its standard error obtained?
(Check the one that applies.)

☐ Form 2 (Optional) in Appendix A (Forms 1–5) *(Attach completed Form 2.)*

☐ Other *(Please specify. Provide formulas and calculations or attach and explain the program code and output with description of all variable names.)*

e. If stratification was used, did any strata in the sample contain only one outlet or cluster this year? ☐ Yes ☐ No ☐ No stratification

If Yes, explain how this situation was dealt with in variance estimation.

f. Was a cluster sample design used? ☐ Yes ☐ No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year? ☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

g. Report the following outlet sample sizes for the Synar survey.

	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
Target sample size (the product of the effective sample size and the design effect)	
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and noncompletion)	
Eligible sample size (number of outlets found to be eligible in the sample)	
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	

h. Fill out Form 4 in Appendix A (Forms 1–5).

8. Did the State’s Synar survey use a list frame? ☐ Yes ☒ No

If Yes, answer the following questions about its coverage.

a. The calendar year of the latest frame coverage study: _____

b. Percent coverage from the latest frame coverage study: _____

c. Was a new study conducted in this reporting period? ☐ Yes ☐ No

If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.

d. The calendar year of the next coverage study planned: _____

9. Has the Synar survey inspection protocol changed from the previous year?

☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

a. Provide the inspection period: From 05/15/10 **to** 07/17/10
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:

Four (4)

NOTE: If the State uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

c. Fill out and attach Form 5 in Appendix A (Forms 1–5). *(Not required if the State used SSES to analyze the Synar survey data.)*

SECTION II: FFY 2011 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in:

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2011. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

The SSA through a contract with Alcohol Law Enforcement will implement strategies and activities to reduce youth access to tobacco products in NC. With funding from the NC Health and Wellness Trust Fund, the education and enforcement program for SFY 2011 will focus activities on targeted enforcement operations including 3,500 tobacco compliance checks conducted across the state; media and recognition activities to raise public awareness of youth access issues by generating at least 12 earned media stories; continuing to enhance and build new partnerships by participating in a minimum of five community events with HWTF grantees promoting retailer education and training as well as conducting workshops to educate communities about state efforts and how they can be involved locally. We will also disseminate a Spanish version of the Red Flag Merchant Education packet.

Also ALE Agents will distribute a new incentive item to retail clerks in the coming year. The item is a lapel pin which is similar to the "I didn't sell" pin distributed in Illinois. The agents will give the pins to retail clerks who did not sell tobacco products to minors during their tobacco compliance checks. The pin is attached to a thank you card that recognizes the clerk for compliance with N.C.G.S. 14-313. The lapel pin will replace the certificate which has been distributed since 2004.

LMEs and their Provider Agencies are continuing to input Synar data in the Prevention Outcomes Performance System (NC POPS) database regarding the retail outlets across the

state in which they have conducted their merchant education activities. As a follow-up to their local merchant education visits, the SSA will submit the list of outlets to the Tobacco Program Coordinator at ALE to ensure that these retail outlets are included in statewide enforcement (compliance checks conducted by ALE) as well as any direct mail campaigns or other events.

The state does not anticipate any changes in the youth access legislation. We will be watchful during the legislative session for any opportunities to implement retailer licensing in our state and other tobacco control policies.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply.)

- ☒ Limited resources for law enforcement of youth access laws
- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☒ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☒ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☒ Difficulties recruiting youth inspectors
- ☐ Geographic, demographic, and logistical considerations in conducting inspections
- ☒ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☐ Other challenges (Please list.) _____

Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for technical assistance related to each relevant challenge.

Limited resources for law enforcement of youth access laws: The SSA continues to be concerned about the state's ability to maintain active enforcement of N.C.G.S. 14-313. The NC Health and Wellness Trust Fund Commission (HWTF) have provided funding for education and enforcement activities since 2002. For Phase IV of the HWTF Teen Tobacco Prevention and Cessation Program, funding for the education and enforcement program was cut by \$100,000. Also, the cost to conduct compliance checks statewide has increased significantly. The SSA continues to contract for this service, but is getting fewer checks completed annually because of fuel prices and other costs associated with conducting the checks. The SSA is very fortunate to receive funding from the HWTF to implement this program; however, as the funding for grant

programs and other services becomes reduced due to the state budget shortfall, funding from HWTF is also in jeopardy of being cut by the NC General Assembly. If this occurs, the HWTF will no longer be able to maintain funding for all of its grant programs. The SSA will need to ensure that there is stable funding for enforcement.

Limited resources for activities to support enforcement and compliance with youth tobacco access laws: The state has been fortunate to use some of its funding from the HWTF in 2005 to develop its retailer campaign (Red Flag) and collateral materials. In the last few years, more than 90% of this funding has been used strictly to support enforcement activities with limited funding for printing and no dollars for developing new products. The state is reviewing its use of SAPT Block Grant funds as an avenue to assist with non-enforcement related activities.

Limitations in the State youth tobacco access laws: The SSA is continuing to assess youth access related policy options that may be pursued in NC. The legislative agenda of advocate organizations typically include tobacco control, although most pressing efforts focus on the clean indoor air issues for the upcoming year and possibly the excise tax. Since the state does not have a licensing law, it has been difficult to track the number of retail outlets that sell tobacco products. This is a policy option that we have discussed with partner agencies and are looking at how this kind of policy might be supported and implemented in NC. During the 2010 legislative session, there was an effort made to reinstitute the state's tobacco tax stamp in order to generate revenue and to prevent smuggling. The issue of tobacco retailer licensing was discussed as an important component of the proposed bill. If tobacco tax stamp comes up again in the 2011 legislative session, we believe that retailer licensing will be included as a provision. It is strongly supported by the state agencies that will be involved in its implementation and enforcement.

Limitations on completeness/accuracy of list of tobacco outlets: The state had to change its methodology in 2008 to an area sample due to a lack of coverage using a commercial business list. NC does not have a licensing law and there is no comprehensive list of retail outlets that sell tobacco products that is being collected by the Department of Revenue or other state agencies. The state continues to use data from Alcohol Law Enforcement (they conduct tobacco compliance checks statewide) to identify counties with high tobacco sales rates for mail campaigns and other activities.

Difficulties in recruiting youth are mostly related to competing activities such as sports and other extra-curricular activities, camps, etc. The survey team leader generally recruits several youth during the year in case these situations arise, the youth move or age out of the program.

Geographic, demographic, and logistical considerations in conducting inspections: NC is a very diverse state with many rural areas. The survey team travels all the way across the state from the east to west to conduct inspections. Sometimes they can travel hundreds of miles and only find five to six outlets in a given county. While this seems challenging, our statistician is careful to ensure that county zip code areas have a probability of being selected in the sample. The survey team then has to plan carefully and diligently to conduct inspections in a manner that meets the survey protocol, but also is cost efficient.

Cultural factors/barriers do exist particularly related to language. The SSA in partnership with ALE, El Pueblo and other stakeholders have worked together to develop and are currently disseminating merchant education materials in Spanish language. We will also explore other ways, such as training, in which we could work more effectively with Latino retailers. We will also work with grantees and local coalitions to identify other cultural issues that may exist such as engaging youth in implementation of merchant education activities and compliance checks.

APPENDIX A: SSES TABLES
(Uploaded to Web BGAS)

TABLE 1 – Synar Survey Estimates and Sample Sizes

TABLE 2 – Synar Survey Results by Stratum and by OTC/VM

TABLE 3 – Synar Survey Sample Tally Summary

TABLE 4 – Synar Survey Inspection Results by Youth Inspector Characteristics

SSSES Table 1 (Synar Survey Estimates and Sample Sizes)

CSAP-SYNAR REPORT

State	NC
Federal Fiscal Year (FFY)	2011
Date	11/16/2010 8:22
Data	2010FINAL-sw.xlsx
Analysis Option	Stratified Clustered with FPC

Estimates

Unweighted Retailer Violation Rate	10.0%
Weighted Retailer Violation Rate	10.3%
Standard Error	1.1%
Is SAMHSA Precision Requirement met?	YES
Right-sided 95% Confidence Interval	[0.0%, 12.2%]
Two-sided 95% Confidence Interval	[8.1%, 12.5%]
Design Effect	1.0
Accuracy Rate (unweighted)	99.4%
Accuracy Rate (weighted)	99.5%
Completion Rate (unweighted)	97.6%

Sample Size for Current Year

Effective Sample Size	373
Target (Minimum) Sample Size	410
Original Sample Size	782
Eligible Sample Size	777
Final Sample Size	758
Overall Sampling Rate	6.4%

SSES Table 2 (Synar Survey Results by Stratum and by OTC/VM)

STATE: NC

FFY: 2011

Samp. Stratum	Var. Stratum	Outlet Frame Size	Estimated Outlet Population Size	Number of PSU Clusters Created	Number of PSU Clusters in Sample	Outlet Sample Size	Number of Eligible Outlets in Sample	Number of Sample Outlets Inspected	Number of Sample Outlets in Violation	Retailer Violation Rate(%)	Standard Error(%)
All Outlets											
11	11	0	1,284	22	2	55	54	54	5	9.3%	
12	12	0	1,311	8	2	81	81	79	7	8.9%	
13	13	0	1,114	4	2	60	60	56	4	7.0%	
14	14	0	600	75	4	32	32	32	5	15.6%	
21	21	0	1,378	23	2	83	83	83	12	14.5%	
22	22	0	695	6	2	53	53	50	4	8.1%	
23	23	0	551	4	2	45	45	43	6	13.9%	
31	31	0	783	11	2	45	45	43	5	11.3%	
32	32	0	1,060	4	2	79	79	79	8	10.4%	
33	33	0	521	46	3	34	34	34	3	8.8%	
41	41	0	823	11	2	44	44	44	6	13.6%	
42	42	0	836	4	2	64	64	58	6	10.2%	
43	43	0	927	63	7	107	103	103	5	4.9%	
Total		0	11,883	281	34	782	777	758	76	10.3%	1.1%
Over the Counter Outlets											
11	11	0	1,284	22	2	55	54	54	5	9.3%	
12	12	0	1,311	8	2	81	81	79	7	8.9%	
13	13	0	1,114	4	2	60	60	56	4	7.0%	
14	14	0	600	75	4	32	32	32	5	15.6%	
21	21	0	1,378	23	2	83	83	83	12	14.5%	
22	22	0	695	6	2	53	53	50	4	8.1%	
23	23	0	551	4	2	45	45	43	6	13.9%	
31	31	0	783	11	2	45	45	43	5	11.3%	
32	32	0	1,060	4	2	79	79	79	8	10.4%	
33	33	0	521	46	3	34	34	34	3	8.8%	
41	41	0	823	11	2	44	44	44	6	13.6%	
42	42	0	836	4	2	64	64	58	6	10.2%	
43	43	0	927	63	7	106	103	103	5	4.9%	
Total		0	11,883	281	34	781	777	758	76	10.3%	1.1%
Vending Machines											
11	11	0	0	22	2	0	0	0	0	0.0%	
12	12	0	0	8	2	0	0	0	0	0.0%	
13	13	0	0	4	2	0	0	0	0	0.0%	
14	14	0	0	75	4	0	0	0	0	0.0%	
21	21	0	0	23	2	0	0	0	0	0.0%	
22	22	0	0	6	2	0	0	0	0	0.0%	
23	23	0	0	4	2	0	0	0	0	0.0%	
31	31	0	0	11	2	0	0	0	0	0.0%	
32	32	0	0	4	2	0	0	0	0	0.0%	

33	33	0	0	46	3	0	0	0	0	0.0%	
41	41	0	0	11	2	0	0	0	0	0.0%	
42	42	0	0	4	2	0	0	0	0	0.0%	
43	43	0	0	63	7	0	0	0	0	0.0%	
Total		0	0	281	34	0	0	0	0	0.0%	0.0%

Note: There are some records with unknown outlet type. Therefore the overall counts may not equal the sum of OTC and VM counts.

SSES Table 3 (Synar Survey Sample Tally Summary)

STATE: NC

FFY: 2011

Disposition Code	Description	Count	Subtotal
EC	Eligible and inspection complete outlet	758	
Total (Eligible Completes)			758
N1	In operation but closed at time of visit	18	
N2	Unsafe to access	1	
N3	Presence of police	0	
N4	Youth inspector knows salesperson	0	
N5	Moved to new location but not inspected	0	
N6	Drive thru only/youth inspector has no drivers license	0	
N7	Tobacco out of stock	0	
N8	Run out of time	0	
N9	Other noncompletion	0	
Total (Eligible Noncompletes)			19
I1	Out of Business	0	
I2	Does not sell tobacco products	5	
I3	Inaccessible by youth	0	
I4	Private club or private residence	0	
I5	Temporary closure	0	
I6	Unlocatable	0	
I7	Wholesale only/Carton sale only	0	
I8	Vending machine broken	0	
I9	Duplicate	0	
I10	Other ineligibility	0	
Total (Ineligibles)			5
Grand Total			782

SSES Table 4 (Synar Survey Inspection Results by Youth Inspector Characteristics)

STATE: NC

FFY: 2011

Frequency Distribution

Gender	Age	Number of Inspectors	Attempted Buys	Successful Buys
Male	14	0	0	0
	15	0	0	0
	16	2	427	48
	17	0	0	0
	18	0	0	0
	Subtotal	2	427	48
Female	14	0	0	0
	15	1	192	17
	16	2	139	11
	17	0	0	0
	18	0	0	0
	Subtotal	3	331	28
Other		0	0	0
Grand Total		5	758	76

Buy Rate in Percent by Age and Gender

Age	Male	Female	Total
14	0.0%	0.0%	0.0%
15	0.0%	8.9%	8.9%
16	11.2%	7.9%	10.4%
17	0.0%	0.0%	0.0%
18	0.0%	0.0%	0.0%
Other			0.0%
Total	11.2%	8.5%	10.0%

APPENDIXES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the State's CSAP-approved sampling design and inspection protocol. These appendixes, therefore, should generally describe the design and protocol and, with the exception of Question #10 of Appendix B, are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance, written approval. To facilitate the State's completion of this section, simply cut and paste the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: North Carolina

FFY: 2011

1. What type of sampling frame is used?

- ☐ List frame (*Go to Question 2.*)
- ☒ Area frame (*Go to Question 3.*)
- ☐ List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

Use the corresponding number to indicate Type of Source in the table below.

- | | |
|---|--|
| 1 – Statewide commercial business list | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle

3. If an area frame is used, describe how area sampling units are defined and formed.

Multi-stage design: A multi-stage design was used to facilitate the development of the sampling frame and to reduce field cost. Since no comprehensive listing of outlets is available, an area sampling frame is used. Two stages were used in the design. The sampling and data collection methods are basically unchanged from the previous survey except sample areas are canvassed in the field as the source of sample outlets rather than the D&B list of businesses as used in past Synar surveys.

Stage 1: In this stage, the State's 100 counties singly or in pairs comprised the primary sampling units (PSUs); minimum PSU size is 10 potential outlets. This combination resulted in a total of 96 PSUs. These PSUs were stratified into 4 primary strata based on mental health districts and into secondary strata within each of those 4 strata, based on estimated number of outlets. This resulted in a total of 12 explicit final strata. Within these strata, PSUs were sorted

by size to achieve additional stratification. PSUs were selected from each of these strata using probability proportional to size (field costs and estimated number of outlets). Three of the PSUs were selected with certainty and used as certainty strata. In the certainty strata, the ZIP code areas become the PSUs.

Stage 2: Within the sample PSUs of the non-certainty strata, second stage units (SSUs) are postal ZIP areas. The SSUs are selected from the sample PSUs with probability proportional to size and one subarea (anticipated to have approximately 10 to 12 outlets) is selected in each sample SSU to obtain nearly equal sampling weights. All ZIP areas that are 50 percent or more within the sample county (based on population) have a nonzero probability of being selected. ZIPs with no potential outlets according to D&B are assigned a size measure of 1. Certainty ZIP areas are given a chance of receiving more than one canvass area (consistent with expected number of hits). All random numbers were generated within Excel spreadsheet using the random number function (RAND).

a. Is any area left out in the formation of the area frame? ☐ Yes ☒ No

If Yes, what percentage of the State's population is not covered by the area frame?
_____ %

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey? ☒ Yes ☐ No

If No, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines.
- ☐ State law bans vending machines from locations accessible to youth.
- ☐ State has SAMHSA approval to exempt vending machines from the survey.
- ☐ Other (Please describe.) _____

5. Which category below best describes the sample design? (Check only one.)

☐ Census (STOP HERE: Appendix B is complete.)

Unstratified statewide sample:

- ☐ Simple random sample (Go to Question 9.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 8.)
- ☐ Multistage cluster sample (Go to Question 8.)

Stratified sample:

- ☐ Simple random sample (Go to Question 7.)
- ☐ Systematic random sample (Go to Question 6.)
- ☐ Single-stage cluster sample (Go to Question 7.)
- ☒ Multistage cluster sample (Go to Question 7.)

☐ **Other** (Please describe and go to Question 9.) _____

- 6. Describe the systematic sampling methods.** (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

- 7. Provide the following information about stratification.**

- a. Provide a full description of the strata that are created.**

The PSUs were stratified into 4 primary strata based on mental health districts and into secondary strata within each of those 4 strata, based on estimated number of outlets. This resulted in a total of 12 explicit final strata.

- b. Is clustering used within the stratified sample?**

☒ **Yes** (Go to Question 8.)

☐ **No** (Go to Question 9.)

- 8. Provide the following information about clustering.**

- a. Provide a full description of how clusters are formed.** (If multistage clusters are used, give definitions of clusters at each stage.)

Stage 1: In this stage, the State's 100 counties singly or in pairs comprise the primary sampling units (PSUs); minimum PSU size is 10 potential outlets. This combination results in a total of 98 PSUs, counting the certainty PSUs as one each. Within the strata described above, PSUs were sorted by size to achieve additional stratification. PSUs were selected from each of these strata using probability proportional to size (field costs and estimated number of outlets).

Stage 2: Within the sample PSUs, second stage units (SSUs) are ZIP areas. The SSUs are selected from the sample PSUs with probability proportional to size and one subarea (anticipated to have approximately 10 to 12 outlets) is selected in each sample SSU to obtain nearly equal sampling weights. All ZIP areas that are 50 percent or more within the sample county (based on population) have a nonzero probability of being selected if that county is selected. ZIPs with no potential outlets according to D&B are assigned a size measure of 1. Certainty ZIP areas are given a chance of receiving more than one canvass area (consistent with expected number of hits).

- b. **Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.**

Stage 1: PSUs were selected from each of these strata with equal probability.

Stage 2: Within the sample PSUs, second stage units (SSUs) are selected from the sample PSUs with equal probability. If an SSU contains substantially more than the targeted canvass area of 10 or 12, the SSU is sub-segmented into canvass areas on the map and equal probability is used to select a canvass area. All random numbers are generated within Excel spreadsheet using the random number function (RAND).

9. Provide the formulas for determining the effective, target, and original outlet sample sizes.

Below is the formula for calculating a sample size using a one-tail test:

Effective sample size (S3.1):

$$n = \frac{1}{\left(\frac{(s.e.)^2}{P(1-P)} + \frac{1}{N} \right)}$$

where P is the RVR from the previous year's survey.

s.e = 0.0183 is the standard error for the one-sided 95% confidence interval

N = estimated frame size

The target sample size (n_t) is determined by:

$$n_t = dn_e$$

where d is the design effect from the previous year's survey.

The original sample size is determined by:

$$n_o = (1 + s) \frac{n_t}{r_l r_c},$$

Where s = 20% is a safety margin, r_l is the expected eligibility rate, and r_c is the expected completion rate based on the previous year's survey.

10. Provide the following information about sample size calculations for the current FFY Synar survey.

- a. If the State uses the sample size formulas embedded in the Synar Survey Estimation System (SSES) Sample Size Calculator, please provide the following information:**

Inputs for Effective Sample Size:

RVR:

Frame Size:

Input for Target Sample Size:

Design Effect:

Inputs for Original Sample Size:

Safety Margin:

Accuracy (Eligibility) Rate:

Completion Rate:

- b. If the State does not use the sample size formulas embedded in the SSES Sample Size Calculator, please provide all inputs required to calculate the effective, target, and original sample sizes as indicated in Question 9.**

Based on FY2000 results: $P=0.148$, $N=11,774$, $deff=1.1$, $rl=.98$, $rc=.98$

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: North Carolina
FFY: 2011

Note: Upload to WebBGAS a copy of the Synar inspection form under the heading "Synar Inspection Form" and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading "Synar Inspection Protocol."

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

b. Youth inspectors to carry ID?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

c. Adult inspectors to enter the outlet?

- | | |
|---|--|
| <input type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input checked="" type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

d. Youth inspectors to be compensated?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☐ Law enforcement agency(ies)
☐ State or local government agency(ies) other than law enforcement
☒ Private contractor(s)
☐ Other

List the agency name(s): _____

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement representatives issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

- ☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

In order to assure inter-rater reliability, the same instructor trains the youth. The instructions include specific information on the role and responsibilities of the youth, followed by role-play exercises covering various scenarios that prepared the youth for the types of questions or responses to expect from merchants and their employees.

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☒ Yes ☐ No (If Yes, please describe.)

N.C.G.S. 14-313 makes it illegal for a person less than 18 years of age to purchase, acquire or receive tobacco products or cigarette wrapping papers. The two exceptions are if the minor is enlisted by a police or sheriff's department to test compliance OR if the minor is working with the Department of Health and Human Services to conduct annual, random, unannounced inspections. In both situations, prior parental consent is required.

b. Procedural ☐ Yes ☒ No (If Yes, please describe.)

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

Two adult supervisors must be the same gender of each youth inspector for all overnight Synar Survey inspection trips. Bars, lounges and taverns are not inspected because of safety concerns even though they may be accessible to youth.

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

Youth inspectors must be 15-16 years old and must pass age verification test. They are also trained prior to beginning work with the survey team. Liquor stores are not included due to the fact that they are all state operated and do not sell tobacco products.

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: North Carolina

FFY: 2011

(Appendix D: Not Applicable to NC)

1. Calendar year of the coverage study: _____

2. a. Unweighted percent coverage found: _____%

b. Weighted percent coverage found: _____%

c. Number of outlets found through canvassing: _____

d. Number of outlets matched on the list frame: _____

3. a. Describe how areas were defined. (e.g., census tracts, counties, etc.)

b. Were any areas of the State excluded from sampling? ☐ Yes ☐ No

If Yes, please explain.

4. Please answer the following questions about the selection of canvassing areas.

a. Which category below best describes the sample design? (Check only one.)

☐ Census (Go to Question 6.)

Unstratified Statewide sample:

☐ Simple random sample (Respond to Part b.)

☐ Systematic random sample (Respond to Part b.)

☐ Single-stage cluster sample (Respond to Parts b and d.)

☐ Multistage cluster sample (Respond to Parts b and d.)

Stratified sample:

☐ Simple random sample (Respond to Parts b and c.)

☐ Systematic random sample (Respond to Parts b and c.)

☐ Single-stage cluster sample (Respond to Parts b, c, and d.)

☐ Multistage cluster sample (Respond to Parts b, c, and d.)

☐ Other (Please describe and respond to Part b.) _____

b. Describe the sampling methods.

c. Provide a full description of the strata that were created.

d. Provide a full description of how clusters were formed.

5. Were borders of the selected areas clearly identified at the time of canvassing?

☐ Yes ☐ No

6. Were all sampled areas visited by canvassing teams?

☐ Yes (*Go to Question 7.*) ☐ No (*Respond to Parts a and b.*)

a. Was the subset of areas randomly chosen?

☐ Yes ☐ No

b. Describe how the subsample of visited areas was drawn. Include the number of areas sampled and the number of areas canvassed.

7. Were field observers provided with a detailed map of the canvassing areas?

☐ Yes ☐ No

If No, describe the canvassing instructions given to the field observers.

8. Were field observers instructed to find all outlets in the assigned area?

☐ Yes ☐ No

If No, respond to Question 9.

If Yes, describe any instructions given to the field observers to ensure the entire area was canvassed, then go to Question 10.

9. If a full canvassing was not conducted:

a. How many predetermined outlets were to be observed in each area? _____

b. What were the starting points for each area? _____

c. Were these starting points randomly chosen? ☐ Yes ☐ No

d. Describe the selection of the starting points.

- e. Please describe the canvassing instructions given to the field observers, including predetermined routes.

10. Describe the process field observers used to determine if an outlet sold tobacco.

11. Please provide the State's definition of "matches" or "mismatches" to the Synar sampling frame? (i.e., address, business name, business license number, etc).

12. Provide the calculation of the weighted percent coverage (if applicable).